



#3

Applicant or Patentee: ROBERT H. GRUBBS ET AL.

Attorney's  
Docket No.: CTG-1820

Appn. or Patent No.:

Filed or Issued: July 31, 1996

For:

HIGH METATHESIS ACTIVITY RUTHENIUM AND OSMIUM METAL CARBENE COMPLEXES

**VERIFIED STATEMENT CLAIMING SMALL ENTITY STATUS  
(37 CFR 1.9(f) & 1.27(d)) -- NONPROFIT ORGANIZATION**

I hereby declare that I am an official empowered to act on behalf of the nonprofit organization identified below:

NAME OF NONPROFIT ORGANIZATION California Institute of Technology

ADDRESS OF NONPROFIT ORGANIZATION 1201 East California Boulevard, Pasadena, California 91125

**TYPE OF NONPROFIT ORGANIZATION:**

- ☒ UNIVERSITY OR OTHER INSTITUTION OF HIGHER EDUCATION
- ☐ TAX EXEMPT UNDER INTERNAL REVENUE SERVICE CODE (26 U.S.C. 501(a) and 501(c)(3))
- ☐ NONPROFIT SCIENTIFIC OR EDUCATIONAL UNDER STATUTE OF STATE OF THE UNITED STATES OF AMERICA  
(NAME OF STATE )  
(CITATION OF STATUTE )
- ☐ WOULD QUALIFY AS TAX EXEMPT UNDER INTERNAL REVENUE SERVICE CODE (26 U.S.C. 501(a) and 501(c)(3)) IF LOCATED IN THE UNITED STATES OF AMERICA
- ☐ WOULD QUALIFY AS NONPROFIT SCIENTIFIC OR EDUCATIONAL UNDER STATUTE OF STATE OF THE UNITED STATES OF AMERICA IF LOCATED IN THE UNITED STATES OF AMERICA  
(NAME OF STATE )  
(CITATION OF STATUTE )

I hereby declare that the nonprofit organization identified above qualifies as a nonprofit organization as defined in 37 CFR 1.9(a) for purposes of paying reduced fee to the United States Patent and Trademark Office regarding the invention described in:

- ☐ the specification filed herewith with title as listed above.
- ☐ the application identified above.
- ☐ The patent identified above.

I hereby declare that rights under contract or law have been conveyed to and remain with the nonprofit organization regarding the above identified invention. If the rights held by the nonprofit organization are not exclusive, each individual, concern or organization having rights in the invention must file separate verified statements averring to their status as small entities and that no rights to the invention are held by any person, other than the inventor, who would not qualify as an independent inventor under 37 CFR 1.9(c) if that person made the invention, or by any concern which would not qualify as a small business concern under 37 CFR 1.9(d) or a nonprofit organization under 37 CFR 1.9(e).

Each person, concern or organization having any rights in the invention is listed below:

- ☐ no such person, concern or organization exists
- ☐ each such person, concern or organization is listed below:

FULL NAME:

ADDRESS:

☐ Individual ☐ Small Business Concern ☐ Nonprofit Organization

I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time or paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate. (37 CFR 1.28(b))

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that those statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application, any patent issuing thereon, or any patent to which this verified statement is directed.

Name of Person Signing: Michael J. Keller

Title in Organization of Person Signing: General Counsel - Chief Patent Counsel

Address of Person Signing:

Signature: [Signature]

Date: 10/8/96



#3

Atty Docket No. CTCH-1620

**COMBINED DECLARATION FOR PATENT APPLICATION AND POWER OF ATTORNEY**

As a below named inventor, I hereby declare that:

My residence, post office address and citizenship are as stated below next to my name,

I believe I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural names are listed below) of the subject matter which is claimed and for which a patent is sought on the invention entitled

**HIGH METATHESIS ACTIVITY RUTHENIUM AND OSMIUM METAL CARBENE COMPLEXES**

the specification of which (check one) XX was filed on July 31, 1996, Appln. No. 08/693,789

I hereby state that I have reviewed and understand the contents of the above-identified specification, including the claims, as amended by any amendment referred to above.

I acknowledge the duty to disclose all information which is material to patentability as defined in 37 CFR § 1.56.

I hereby claim foreign priority benefits under 35 U.S.C. § 119(a)-(d) or § 365(b) of any foreign application(s) for patent or inventor's certificate, or § 365(a) of any PCT International application which designated at least one country other than the United States, listed below and have also identified below any foreign application for patent or inventor's certificate having a filing date before that of the application on which priority is claimed:

Prior Foreign Application(s)			Priority Claimed	
			Yes	No
Number	Country	Day/Month/Year Filed	_____	_____
Number	Country	Day/Month/Year Filed	_____	_____

I hereby claim the benefit under 35 U.S.C. § 119(e) of any United States provisional application(s) below.

60/001,862                      August 3, 1995  
Application Number              Filing Date

60/003,973                      September 19, 1995  
Application Number              Filing Date

I hereby claim the benefit under 35 U.S.C. § 120 of any United States application(s), or § 365(c) of any PCT International application designating the United States, listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States application in the manner provided by the first paragraph of 35 U.S.C. § 112, I acknowledge the duty to disclose all information which is material to patentability as defined in 37 CFR § 1.56 which became available between the filing date of the prior application and the national or PCT international filing date of this application:

Application Number	Filing Date	Status: Patented, Pending, Abandoned
Application Number	Filing Date	Status: Patented, Pending, Abandoned

I HEREBY APPOINT THE FOLLOWING AS MY ATTORNEYS WITH FULL POWER OF SUBSTITUTION TO PROSECUTE THIS APPLICATION AND TRANSACT ALL BUSINESS IN THE PATENT OFFICE CONNECTED THEREWITH:

Karl A. Limbach	18,689	Philip A. Girard	28,848	Kathleen A. Frost	37,326
George C. Limbach	19,305	Michael J. Pollock	29,098	David Woycachowsky	39,079
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Gerald T. Sekimura	30,103	Alan D. Minsk	35,956	Douglas C. Limbach	35,249
Michael A. Stallman	29,444	Mark C. Pickering	36,239		

Send correspondence to Limbach & Limbach L.L.P.  
Attn: W. Patrick Bengtsson  
2001 Ferry Building  
San Francisco, CA 94111  
Telephone: 415/433-4150

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment or both, under 18 U.S.C. § 1001 and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.


Full name of sole or first inventor ROBERT H. GRUBBS

Inventor's signature \_\_\_\_\_ Date \_\_\_\_\_  
Residence 1700 Spruce Street, S. Pasadena, CA 91030  
Citizenship U.S.A.  
Post Office Address 1700 Spruce Street, S. Pasadena, CA 91030

Full name of second joint inventor, if any, PETER SCHWAB

Inventor's signature \_\_\_\_\_ Date \_\_\_\_\_  
Residence Krahhohlenweg 23, 67098 Bad Dürkheim, Germany  
Citizenship German  
Post Office Address Krahhohlenweg 23, 67098 Bad Dürkheim, Germany

Full name of third joint inventor, if any, SONBINH T. NGUYEN

Inventor's signature  8/30/96  
Date \_\_\_\_\_  
Residence 2044 Pratt Court, Evanston, IL 60201  
Citizenship U.S.A.  
Post Office Address 2044 Pratt Court, Evanston, IL 60201

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Full name of second joint inventor, if any, PETER SCHWAB

Inventor's signature Peter Schwab Date 08/26/96  
Residence Krahhohlenweg 23, 67098 Bad Dürkheim, Germany  
Citizenship German  
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